

*U.S. Department of Energy, Berkeley Site Office
University of California
Lawrence Berkeley National Laboratory*

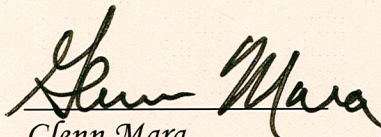
Operating Principles

The Department of Energy (DOE) reform initiative espoused by Energy Secretary Chu, coupled with the goals of the DOE Office of Science to institute stronger Site Office-Contractor performance and partnership, give us the opportunity to strengthen the working relationship between the DOE Berkeley Site Office (BSO), the University of California (University) and the Lawrence Berkeley National Laboratory (LBNL). These Operating Principles reflect DOE's performance and partnership objectives. Leadership of the BSO, University, and LBNL fully endorse these jointly developed principles and expect the employees of our respective organizations to abide by and implement them in their daily interactions.

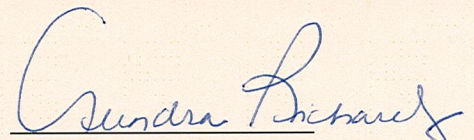
- 1. LBNL is fully responsible and accountable for sound and safe execution of all programs, functions, and deliverables consistent with the prime contract scope of work, regardless of federal oversight activities. Laboratory leadership is fully engaged in and committed to science/technology and operations/business excellence and strives for continuous improvement in order to favorably compare with best-in-class institutions. LBNL will engage BSO across the full range of LBNL programs and functions in order to partner with and support BSO in its management oversight role.*
- 2. The University is responsible for oversight and providing reasonable assurance to BSO that the objectives of the LBNL management systems are being accomplished and that the systems and controls are effective and efficient.*
- 3. BSO's primary role is contract management and federal stewardship. It is responsible for maintaining an integrated awareness of LBNL planning, programs, and operations, with a focus on outcomes in order to facilitate LBNL's safe execution of DOE mission and contract compliance. BSO oversight will assess LBNL management systems commensurate with the risk and cost to DOE. Its relationship with LBNL will be guided by the performance-based contract and the Office of Science Contractor Assurance concept and will focus on the key attributes of an effective and efficient contractor assurance system while at the same time, continuing to emphasize partnership and collaboration, mission accomplishment, operations and business performance results, and effective and constructive management oversight.*
- 4. LBNL, the University and BSO will balance risk with cost in setting performance requirements with the goal of developing effective systems at minimal cost.*
- 5. LBNL, the University and BSO will work together in the spirit of cooperation, with communications that are open, honest, transparent, and timely, and with full access to information and facilities in accordance with the prime contract.*
- 6. LBNL, the University and BSO mutually embrace a system of self-assessment and continuous improvement in which the parties constructively raise issues, identify shortcomings, and consistent with the performance-based contract concept, develop efficient and effective solutions to problems that affect performance and contract compliance.*



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